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Re: U.S. Patent App. No. 09/540,601

**MESSAGE:**

In re Appln. of Hauk, et al.

App. No.: 09/540,601

Filed: March 31, 2000

Title: Virtual Trading Floor System

**ENCLOSED:** Certificate of Facsimile Transmission (1 pp.);

Transmittal (1 pp. - in dup.)

Third Preliminary Amendment with Appendix A (4 pp.) and  
 Facsimile Cover Sheet (1 pp.).

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In re U.S. Patent Application of Hauk, et al.  
U.S. Patent App. No. 09/540,601  
Our File No. 35103-018001

CERTIFICATE OF FACSIMILE TRANSMISSION

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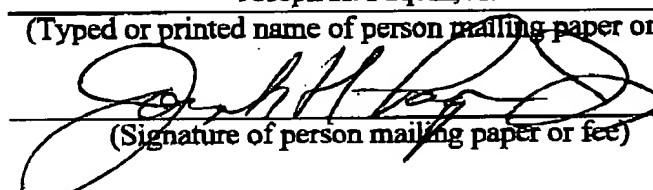
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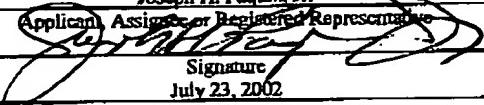
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RESPONSE TO OFFICE ACTION TRANSMITTAL LETTER			ATTORNEY'S DOCKET NO. 35103-018001
APPLN. NO. 09/540,601	FILING DATE March 31, 2000	EXAMINER Richard Fults	GROUP ART UNIT 2768
INVENTOR(S) Hawk, et al.			
TITLE OF INVENTION Virtual Trading Floor System			

## TO THE COMMISSIONER OF PATENTS AND TRADEMARKS

Transmitted herewith is a response in the above-identified application to the Office Action of \_\_\_\_\_.

- Small entity status of this application under 37 CFR 1.27 has been established by a verified statement previously submitted.
- A verified statement to establish a small entry status under 37 CFR 1.9 and 1.27 is enclosed.
- A request for a \_\_\_\_-month extension of time is enclosed.
- No additional claim fee is required.
- The fee has been calculated as shown below:

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA
TOTAL		MINUS		
INDEP.		MINUS		

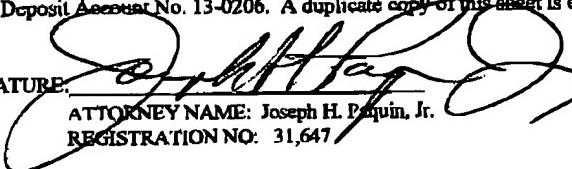
FIRST PRESENTATION OF MULTIPLE DEP. CLAIM

SMALL ENTITY		OR	OTHER THAN A SMALL ENTITY		
RATE	ADD'L FEE		RATE	ADD'L FEE	
x \$9 =	\$		x \$18 =	\$	
x \$42 =	\$		x \$84 =	\$	
x \$135 =	\$		x \$270 =	\$	
	TOTAL ADD'L FEE	\$		TOTAL ADD'L FEE	\$
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- Please charge Deposit Account No. 13-0206 in the amount of \$00.00 for the Response to Office Action. A duplicate copy of this sheet is enclosed.
- A check in the amount of \$ \_\_\_\_\_ to cover filing fee is enclosed.
- The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16 and any patent application processing fees under 37 CFR 1.17 associated with this communication or credit any overpayment to Deposit Account No. 13-0206. A duplicate copy of this sheet is enclosed.
- I hereby petition under 37 CFR 1.136(n) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 13-0206. A duplicate copy of this sheet is enclosed.

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(Date)

SIGNATURE:



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